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February 13, 2004

Date

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TRANSMITTAL **FORM**

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

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Application Number	10/699,708	`
Filing Date	November 3, 2003	
First Named Inventor	Mark A. McCord	
Art Unit	2817	
Examiner Name	not yet known	-
Attorney Docket Number	10011 002110 (P1178)	

ENCLOSURES (check all that apply)					
Fee Transmittal Form		☐ Assignment Papers (for an Application) ☐ Drawing(s)		After Allowance Communication to Group	
Fee Attached		Licensing-related Papers		Appeal Communication to Board of Appeals and Interferences	
Amendment / Rep	ply	Petition		Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)	
☐ After Final		Petition to Conv Provisional App		☐ Proprietary Information	
☐ Affidavits/dec	claration(s)	Power of Attorn Change of Corr	ey, Revocation espondence Address	Status Letter	
☐ Extension of Time	e Request	Terminal Disclaimer		Other Enclosure(s) (please identify below):	
Express Abandonment Request		Request for Refund CD, Number of CD(s)		PTO Form SB-08a; Return receipt postcard	
Information Disclosure Statement					
Certified Copy of Document(s)	Priority	Remarks	·		
Response to Missing Parts/ Incomplete Application					
Response to Parts under 3 1.52 or 1.53				•	
SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT					
Firm or Individual name	James K. Okamoto, Reg No. 40,110 OKAMOTO & BENEDICTO LLP				
Signature	Jak-an				
Date	te February 13, 2004				

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Typed or printed name James K. Okamoto

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This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**



h re Application of:

Mark A. McCord, et al.

Serial No. 10/699,708

Filed:

November 3, 2003

Title: Apparatus and Methods of Controlling Surface Charge and Focus

Examiner: not yet known

Art Unit: 2817

Atty. Dkt. No.: 10011.002110 (P1178).

Commissioner for Patents P. O. Box 1450 Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Under 37 C.F.R. §1.56 and §§1.97-98

Sir:

Pursuant to the provisions of 37 CFR 1.56 and §§1.97-98, enclosed herewith is form PTO/SB/08 (substitute for form 1449A/PTO) listing references which may be material to the examination of this application, and with respect to which there may be a duty to disclose. The filing of this Information Disclosure Statement shall not be construed as a representation regarding the completeness of the list of references, or that inclusion of a reference in this list is an admission that it is prior art or is pertinent to this application, or that a search has been made, or as an admission that the information listed is, or may be considered to be, material to patentability, or that no other material information exists, and shall not be construed as an admission against interest in any manner.

A copy of each listed reference is enclosed herewith, unless no such copy is required pursuant to 37 CFR § 1.98(d).

This application relies, under 35 U.S.C. § 120, on the earlier filing date of prior
application Serial No. [SERIAL NUMBER], filed on [FILING DATE], and the
references cited therein are hereby listed but are not required to be provided in
this application under 37 CFR § 1.98(d).

Pursuant to 37 CFR §1.97, this Information Disclosure Statement is being submitted under the section indicated below.

\boxtimes	37 CFR §1.97(b).
	37 CFR §1.97(c). If so, then either: Applicant certifies pursuant to 37 CFR § 1.97(e) that either: each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; OR no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing this certification after making reasonable inquiry, was known to any individual designated under 37 CFR § 1.56 (c) more than three months prior to the filing of this Statement.
	OR Applicant submits the petition fee of \$180 as set forth in 37 CFR § 1.17(p).
	37 CFR § 1.97(d). If so, then both: □ Applicant certifies pursuant to 37 CFR § 1.97(e) that either: □ each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more that three months prior to the filing of this Statement; OR □ no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing this certification after making reasonable inquiry, was known to any individual designated under 37 CFR § 1.56(c) more than three months prior to the filing of this Statement.
	AND Applicant submits the petition fee of \$180 as set forth in 37 CFR § 1.17(p).

Consideration of the listed references and favorable action are respectfully solicited.

Respectfully submitted, Mark A. McCord, et al.

Dated: February 13, 2004

By:

James K. Okamoto

Attorney For Applicant(s)

Reg. No. 40,110

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Signature:	Juk	, 00			
Typed or Printed Name:	James K. Ok	:amo to	Dated	d: February 13,200)4
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10011.002110 (P1178)

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Examiner Name

Attorney Docket Number

(Use as many sheets as necessary)

of

Sheet

		Document Number	U.S. PATENT D	Name of Patentee or Applicant of		
Examiner Initials *	Cite No.1	Number - Kind Code ² (if known)	Publication Date MM-DD-YYYY	Cited Document	Pages, Columns, Lines, Where Relevan Passages or Relevant Figures Appear	
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	FOREIGN PATENT DOCUMENTS					
Examiner Cite No.1		Foreign Patent Document	Publication	Name of Patentee or	Pages, Columns, Lines, Where Relevant	T⁵
		Country Code ³ - Number ⁴ - Kind Code ⁵ (<i>if known</i>)	Date MM-DD-YYYY	Applicant of Cited Document	Passages or Relevant Figures Appear	
						
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Examiner Signature	Date Considered	

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.